



PTO/SB/21 (09-04)

Approved for use through 07/31/2006. OMB 0651-0031

U.S. Patent and Trademark Office; U.S. DEPARTMENT OF COMMERCE

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**TRANSMITTAL  
FORM**

(to be used for all correspondence after initial filing)

Total Number of Pages in This Submission

Application Number	10/814,375
Filing Date	03/30/2004
First Named Inventor	Valery M. Dubin
Art Unit	2811
Examiner Name	Not Yet Assigned
Attorney Docket Number	110348-135102

**ENCLOSURES (Check all that apply)**

<input checked="" type="checkbox"/> Fee Transmittal Form <input type="checkbox"/> Fee Attached <input type="checkbox"/> Amendment/Reply <input type="checkbox"/> After Final <input type="checkbox"/> Affidavits/declaration(s) <input type="checkbox"/> Extension of Time Request <input type="checkbox"/> Express Abandonment Request <input checked="" type="checkbox"/> Information Disclosure Statement  <input type="checkbox"/> Certified Copy of Priority Document(s) <input type="checkbox"/> Reply to Missing Parts/ Incomplete Application <input type="checkbox"/> Reply to Missing Parts under 37 CFR 1.52 or 1.53	<input type="checkbox"/> Drawing(s) <input type="checkbox"/> Licensing-related Papers  <input type="checkbox"/> Petition <input type="checkbox"/> Petition to Convert to a Provisional Application <input type="checkbox"/> Power of Attorney, Revocation Change of Correspondence Address <input type="checkbox"/> Terminal Disclaimer <input type="checkbox"/> Request for Refund <input type="checkbox"/> CD, Number of CD(s) _____ <input type="checkbox"/> Landscape Table on CD	<input type="checkbox"/> After Allowance Communication to TC  <input type="checkbox"/> Appeal Communication to Board of Appeals and Interferences <input type="checkbox"/> Appeal Communication to TC (Appeal Notice, Brief, Reply Brief) <input type="checkbox"/> Proprietary Information <input type="checkbox"/> Status Letter <input checked="" type="checkbox"/> Other Enclosure(s) (please identify below): Return Receipt Postcard
<b>Remarks</b>		

**SIGNATURE OF APPLICANT, ATTORNEY, OR AGENT**

Firm Name	Schwabe, Williamson & Wyatt, P.C.		
Signature			
Printed name	Robert Watt		
Date	11/11/2004	Reg. No.	45890

**CERTIFICATE OF TRANSMISSION/MAILING**

I hereby certify that this correspondence is being facsimile transmitted to the USPTO or deposited with the United States Postal Service with sufficient postage as first class mail in an envelope addressed to: Commissioner for Patents, P.O. Box 1450, Alexandria, VA 22313-1450 on the date shown below:			
Signature			
Typed or printed name	Heather L. Adamson	Date	11/11/2004

This collection of information is required by 37 CFR 1.5. The information is required to obtain or retain a benefit by the public which is to file (and by the USPTO to process) an application. Confidentiality is governed by 35 U.S.C. 122 and 37 CFR 1.11 and 1.14. This collection is estimated to 2 hours to complete, including gathering, preparing, and submitting the completed application form to the USPTO. Time will vary depending upon the individual case. Any comments on the amount of time you require to complete this form and/or suggestions for reducing this burden, should be sent to the Chief Information Officer, U.S. Patent and Trademark Office, U.S. Department of Commerce, P.O. Box 1450, Alexandria, VA 22313-1450. DO NOT SEND FEES OR COMPLETED FORMS TO THIS ADDRESS. SEND TO: Commissioner for Patents, P.O. Box 1450, Alexandria, VA 22313-1450.

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PTO/SB/17 (10-04v2)

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# FEE TRANSMITTAL for FY 2005

Effective 10/01/2004. Patent fees are subject to annual revision.

☐ Applicant claims small entity status. See 37 CFR 1.27

TOTAL AMOUNT OF PAYMENT (\$ ) 0.00

**Complete if Known**

Application Number	10/814,375
Filing Date	03/30/2004
First Named Inventor	Valery M. Dubin
Examiner Name	Not Yet Assigned
Art Unit	2811
Attorney Docket No.	110348-135102

**METHOD OF PAYMENT (check all that apply)**☐ Check ☐ Credit card ☐ Money Order ☐ Other ☒ None☒ Deposit Account:Deposit Account Number: 500393  
Deposit Account Name: Schwabe Williamson et al.

The Director is authorized to: (check all that apply)

☐ Charge fee(s) indicated below ☐ Credit any overpayments☒ Charge any additional fee(s) or any underpayment of fee(s)☐ Charge fee(s) indicated below, except for the filing fee to the above-identified deposit account.**FEE CALCULATION****1. BASIC FILING FEE**

Large Entity		Small Entity		Fee Description	Fee Paid
Fee Code	Fee (\$)	Fee Code	Fee (\$)		
1001	790	2001	395	Utility filing fee	
1002	350	2002	175	Design filing fee	
1003	550	2003	275	Plant filing fee	
1004	790	2004	395	Reissue filing fee	
1005	160	2005	80	Provisional filing fee	
SUBTOTAL (1)					(\$ ) 0.00

**2. EXTRA CLAIM FEES FOR UTILITY AND REISSUE**

Total Claims		-20** =		X		=	
Independent Claims		-3** =		X		=	
Multiple Dependent						=	

Large Entity		Small Entity		Fee Description	Fee Paid
Fee Code	Fee (\$)	Fee Code	Fee (\$)		
1202	18	2202	9	Claims in excess of 20	
1201	88	2201	44	Independent claims in excess of 3	
1203	300	2203	150	Multiple dependent claim, if not paid	
1204	88	2204	44	** Reissue independent claims over original patent	
1205	18	2205	9	** Reissue claims in excess of 20 and over original patent	
SUBTOTAL (2)					(\$ ) 0.00

\*\*or number previously paid, if greater; For Reissues, see above

**FEE CALCULATION (continued)****3. ADDITIONAL FEES**

Large Entity Small Entity

Fee Code	Fee (\$)	Fee Code	Fee (\$)	Fee Description	Fee Paid
1051	130	2051	65	Surcharge - late filing fee or oath	
1052	50	2052	25	Surcharge - late provisional filing fee or cover sheet	
1053	130	1053	130	Non-English specification	
1812	2,520	1812	2,520	For filing a request for <i>ex parte</i> reexamination	
1804	920*	1804	920*	Requesting publication of SIR prior to Examiner action	
1805	1,840*	1805	1,840*	Requesting publication of SIR after Examiner action	
1251	110	2251	55	Extension for reply within first month	
1252	430	2252	215	Extension for reply within second month	
1253	980	2253	490	Extension for reply within third month	
1254	1,530	2254	765	Extension for reply within fourth month	
1255	2,080	2255	1,040	Extension for reply within fifth month	
1401	340	2401	170	Notice of Appeal	
1402	340	2402	170	Filing a brief in support of an appeal	
1403	300	2403	150	Request for oral hearing	
1451	1,510	1451	1,510	Petition to institute a public use proceeding	
1452	110	2452	55	Petition to revive - unavoidable	
1453	1,370	2453	685	Petition to revive - unintentional	
1501	1,370	2501	685	Utility issue fee (or reissue)	
1502	490	2502	245	Design issue fee	
1503	660	2503	330	Plant issue fee	
1460	130	1460	130	Petitions to the Commissioner	
1807	50	1807	50	Processing fee under 37 CFR 1.17(q)	
1806	180	1806	180	Submission of Information Disclosure Stmt	
8021	40	8021	40	Recording each patent assignment per property (times number of properties)	
1809	790	2809	395	Filing a submission after final rejection (37 CFR 1.129(a))	
1810	790	2810	395	For each additional invention to be examined (37 CFR 1.129(b))	
1801	790	2801	395	Request for Continued Examination (RCE)	
1802	900	1802	900	Request for expedited examination of a design application	

Other fee (specify)

\*Reduced by Basic Filing Fee Paid

SUBTOTAL (3) (\$ ) 0.00

**SUBMITTED BY**

(Complete if applicable)

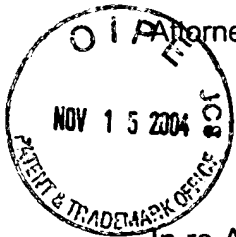
Name (Print/Type)	Robert Watt	Registration No. (Attorney/Agent)	45890	Telephone	503-222-9981
Signature		Date	11/11/2004		

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If you need assistance in completing the form, call 1-800-PTO-9199 and select option 2.



IN THE UNITED STATES PATENT AND TRADEMARK OFFICE

In re Application for:

Valery M. Dubin

Application No.: 10/814,375

Filed: 03/30/2004

For: INTEGRATED CIRCUIT WITH  
METAL LAYER HAVING CARBON  
NANOTUBES AND METHODS OF  
MAKING SAME

Examiner: Not Yet Assigned

Art Group: 2811

Confirmation No. 5497

CERTIFICATE OF TRANSMISSION/MAILING

I hereby certify that this correspondence is being facsimile transmitted to the USPTO or deposited with the United States Postal Service with sufficient postage as first class mail in an envelope addressed to: Commissioner for Patents, PO Box 1450, Alexandria, VA 22313-1450 on this date: 11/11/2004

Typed or Printed: Heather L. Adamson

Signature: *Heather L. Adamson*

Date: 11/11/2004

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Commissioner for Patents  
PO Box 1450  
Alexandria, VA 22313-1450

**INFORMATION DISCLOSURE STATEMENT**

Sir:

Pursuant to 37 C.F.R. § 1.97(g), the submission of this Information Disclosure Statement (IDS) is not to be construed as a representation that a search has been made, and, pursuant to 37 C.F.R. § 1.97(h), the submission of this IDS is not to be construed as an admission that the information cited in this IDS is material to patentability.

This IDS is being submitted under one or more of the following sections of 37

C.F.R. § 1.97 (as indicated by an "X" to the left of the appropriate paragraph(s)):

  X   37 C.F.R. § 1.97(b). Filed:

- (1) Within three months of a National Application other than a CPA;
- (2) Within three months of entry into National Stage;
- (3) Before mailing of a first Office Action on the merits; or
- (4) Before mailing of a first Office Action after filing an RCE.

       37 C.F.R. § 1.97(c). Filed before the mailing of a Final Office Action, Notice of Allowance, or an action that otherwise closes prosecution.

And, ONE of the following:

(1) One statement from 37 C.F.R. § 1.97(e);

      (e)(1) The person signing below certifies that each item of information contained in this IDS was first cited in any communication from a foreign patent office in a counterpart foreign application not more than three months prior to the filing of this IDS; or

      (e)(2) The person signing below certifies that no item of information contained in this IDS was cited in a communication from a foreign patent office in a counterpart foreign application, and, to the knowledge of the person signing below after making reasonable inquiry, no item of information contained in this IDS was known to any individual designated in 1.56(c) more than three months prior to filing this IDS.

**OR**

(2) The fee set forth in 37 C.F.R. § 1.17(p).

      A check in the amount of \$180.00 is enclosed.

       37 C.F.R. § 1.97(d). Filed on or before payment of the issue fee.

And, BOTH of the following:

(1) one statement from 37 C.F.R. § 1.97(e);

      (e)(1) The person signing below certifies that each item of information contained in this IDS was first cited in any communication from a foreign patent office in a counterpart foreign application not more than three months prior to the filing of this IDS; or

      (e)(2) The person signing below certifies that no item of information contained in this IDS was cited in a communication from a foreign patent office in a counterpart foreign application, and, to the knowledge of the person signing below after making reasonable inquiry, no item of information contained in this IDS was known to any individual designated in 1.56(c) more than three months prior to filing this IDS.

**AND**

(2) The fee set forth in 37 C.F.R. § 1.17(p).

      A check in the amount of \$180.00 is enclosed.

Accompanying this IDS is a list of references and a copy of each reference listed therein, EXCEPT copies of references waived under:

(A) one or more of the following sections of 37 C.F.R. § 1.98 (as indicated by an "X" to the left of the appropriate paragraph(s)):

\_\_\_\_\_ 37 C.F.R. § 1.98(c) as being cumulative (marked with an "\*" on the Form PTO-1449).


\_\_\_\_\_ 37 C.F.R. § 1.98(d) as being previously submitted in parent application  
\_\_\_\_\_/\_\_\_\_\_,\_\_\_\_\_, to which the present application claims priority under 35  
U.S.C. § 120.

(B) 1273 Off. Gaz. Pat. Office 55 as being submitted with respect to an application filed after June 30, 2003.

The Commissioner is hereby authorized to charge shortages or credit overpayments to Deposit Account No. 500393. A Fee Transmittal is enclosed in duplicate for fee processing purposes.

Respectfully submitted,  
Schwabe, Williamson & Wyatt, P.C.

Dated: 11/11/04

  
Robert Watt  
Registration No. 45,890

Pacwest Center, Suites 1600-1900  
1211 SW Fifth Avenue  
Portland, Oregon 97204  
Telephone: 503-222-9981



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Substitute for form 1449/PTO

**INFORMATION DISCLOSURE  
STATEMENT BY APPLICANT**

(Use as many sheets as necessary)

**Complete if Known**

Application Number	10/814,375
Filing Date	03/30/2004
First Named Inventor	Valery M. Dubin
Art Unit	2811
Examiner Name	Not Yet Assigned
Attorney Docket Number	110348-135102

Sheet 1 of 3

**U. S. PATENT DOCUMENTS**

Examiner Initials*	Cite No. <sup>1</sup>	Document Number	Publication Date MM-DD-YYYY	Name of Patentee or Applicant of Cited Document	Pages, Columns, Lines, Where Relevant Passages or Relevant Figures Appear
		Number-Kind Code <sup>2</sup> (if known)			
	1	US- 5,674,787	10/07/1997	Zhao et al.	
	2	US- 5,695,810	12/09/1997	Dubin et al.	
	3	US- 5,824,599	10/20/1998	Schacham-Diamand et al.	
	4	US- 5,830,805	11/03/1998	Schacham-Diamand et al.	
	5	US- 5,833,820	11/10/1998	Dubin	
	6	US- 5,882,498	03/16/1999	Dubin et al.	
	7	US- 5,891,513	04/06/1999	Dubin et al.	
	8	US- 5,895,562	04/20/1999	Dubin	
	9	US- 5,913,147	06/15/1999	Dubin et al.	
	10	US- 5,968,333	10/19/1999	Nogami et al.	
	11	US- 5,969,422	10/19/1999	Ting et al.	
	12	US- 5,972,192	10/26/1999	Dubin et al.	
	13	US- 6,001,415	12/14/1999	Nogami et al.	
	14	US- 6,065,424	05/23/2000	Schacham-Diamand et al.	
	15	US- 6,077,780	06/20/2000	Dubin	
	16	US- 6,106,680	08/22/2000	Nogami et al.	
	17	US- 6,162,726	12/19/2000	Dubin	
	18	US- 6,249,055 B1	06/19/2001	Dubin	
	19	US- 6,271,591 B1	08/07/2001	Dubin et al.	

**FOREIGN PATENT DOCUMENTS**

Examiner Initials*	Cite No. <sup>1</sup>	Foreign Patent Document	Publication Date MM-DD-YYYY	Name of Patentee or Applicant of Cited Document	Pages, Columns, Lines, Where Relevant Passages Or Relevant Figures Appear	T <sup>6</sup>
		Country Code <sup>3</sup> Number <sup>4</sup> Kind Code <sup>5</sup> (if known)				

Examiner  
SignatureDate  
Considered

\*EXAMINER: Initial if reference considered, whether or not citation is in conformance with MPEP 609. Draw line through citation if not in conformance and not considered. Include copy of this form with next communication to applicant. <sup>1</sup> Applicant's unique citation designation number (optional). <sup>2</sup> See Kinds Codes of USPTO Patent Documents at [www.uspto.gov](http://www.uspto.gov) or MPEP 901.04. <sup>3</sup> Enter Office that issued the document, by the two-letter code (WIPO Standard ST.3). <sup>4</sup> For Japanese patent documents, the indication of the year of the reign of the Emperor must precede the serial number of the patent document. <sup>5</sup> Kind of document by the appropriate symbols as indicated on the document under WIPO Standard ST.16 if possible. <sup>6</sup> Applicant is to place a check mark here if English language Translation is attached.

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Substitute for form 1449/PTO

**INFORMATION DISCLOSURE  
STATEMENT BY APPLICANT**

(Use as many sheets as necessary)

**Complete if Known**Sheet **2**of **3**

Application Number	10/814,375
Filing Date	03/30/2004
First Named Inventor	Valery M. Dubin
Art Unit	2811
Examiner Name	Not Yet Assigned
Attorney Docket Number	110348-135102

**U. S. PATENT DOCUMENTS**

Examiner Initials*	Cite No. <sup>1</sup>	Document Number	Publication Date MM-DD-YYYY	Name of Patentee or Applicant of Cited Document	Pages, Columns, Lines, Where Relevant Passages or Relevant Figures Appear
		Number-Kind Code <sup>2</sup> (if known)			
	20	US- 6,359,328 B1	03/19/2002	Dubin	
	21	US- 6,362,100 B1	03/26/2002	Nogami et al.	
	22	US- 2002/0036145 A1	03/28/2002	Dubin et al.	
	23	US- 2002/0064592 A1	05/30/2002	Datta et al.	
	24	US- 2002/0074234 A1	06/20/2002	Dubin et al.	
	25	US- 2002/0084529 A1	07/04/2002	Dubin et al.	
	26	US- 2002/0094673 A1	07/18/2002	Dubin	
	27	US- 6,432,821 B1	08/13/2002	Dubin et al.	
	28	US- 6,491,806 B1	12/10/2002	Dubin et al.	
	29	US- 6,518,184 B1	02/11/2003	Chambers et al.	
	30	US- 2003/0071355 A1	04/17/2003	Dubin et al.	
	31	US- 2003/0085177 A1	05/08/2003	Dubin et al.	
	32	US- 2003/0113576 A1	06/19/2003	Chebiam et al.	
	33	US- 2003/0124840 A1	07/03/2003	Dubin	
	34	US- 2003/0134047 A1	07/17/2003	Dubin et al.	
	35	US- 2003/0137050 A1	07/24/2003	Chambers et al.	
	36	US- 2003/0207560 A1	11/06/2003	Dubin et al.	
	37	US- 2003/0207561 A1	11/06/2003	Dubin et al.	
	38	US- 6,645,567 B2	11/11/2003	Chebiam et al.	

**FOREIGN PATENT DOCUMENTS**

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		Country Code <sup>3</sup> * Number <sup>4</sup> * Kind Code <sup>5</sup> (if known)				

Examiner  
SignatureDate  
Considered

\*EXAMINER: Initial if reference considered, whether or not citation is in conformance with MPEP 609. Draw line through citation if not in conformance and not considered. Include copy of this form with next communication to applicant. <sup>1</sup> Applicant's unique citation designation number (optional). <sup>2</sup> See Kinds Codes of USPTO Patent Documents at [www.uspto.gov](http://www.uspto.gov) or MPEP 901.04. <sup>3</sup> Enter Office that issued the document, by the two-letter code (WIPO Standard ST.3). <sup>4</sup> For Japanese patent documents, the indication of the year of the reign of the Emperor must precede the serial number of the patent document. <sup>5</sup> Kind of document by the appropriate symbols as indicated on the document under WIPO Standard ST.16 if possible. <sup>6</sup> Applicant is to place a check mark here if English language translation is attached.

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Sheet 3 of 3

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Examiner Initials*	Cite No. <sup>1</sup>	Document Number Number-Kind Code <sup>2</sup> (if known)	Publication Date MM-DD-YYYY	Name of Patentee or Applicant of Cited Document	Pages, Columns, Lines, Where Relevant Passages or Relevant Figures Appear
	39	US- 2004/0000720 A1	01/01/2004	Dubin et al.	
	40	US- 6,677,233 B2	01/13/2004	Dubin	
	41	US- 6,696,758 B2	02/24/2004	Dubin et al.	
	42	US- 2004/0035316 A1	02/26/2004	Chebiam et al.	
	43	US- 2004/0038073 A1	02/26/2004	Chebiam et al.	
	44	US- 2004/0048437 A1	03/11/2004	Dubin	
	45	US- 2004/0053441 A1	03/18/2004	Dubin et al.	
	46	US- 2004/0058139 A1	03/25/2004	Dubin et al.	
	47	US- 2004/0084773 A1	05/06/2004	Johnston et al.	
	48	US- 6,733,679 B2	05/11/2004	Dubin et al.	
	49	US- 2004/0096592 A1	05/20/2004	Chebiam et al.	
	50	US- 2004/0108217 A1	06/10/2004	Dubin	
	51	US- 2004/0150100 A1	08/05/2004	Dubin et al.	
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Examiner Initials*	Cite No. <sup>1</sup>	Foreign Patent Document Country Code <sup>3</sup> -Number <sup>4</sup> -Kind Code <sup>5</sup> (if known)	Publication Date MM-DD-YYYY	Name of Patentee or Applicant of Cited Document	Pages, Columns, Lines, Where Relevant Passages Or Relevant Figures Appear	T <sup>6</sup>

Examiner  
SignatureDate  
Considered

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